

RECORDS MANAGEMENT HANDBOOK

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MANAGING RECORDS RESPONSIBLY AT JEFFERSON LAB

SURA and Jefferson Lab recognize the importance of appropriate treatment of records. Every laboratory employee has responsibilities for laboratory records, Records management is a line function at Jefferson Lab, and the Records Administrator assists line management in meeting its records management responsibilities.

Records management provides a rational basis for making decisions about recorded information, including what should be saved or discarded. These decisions are necessary to support the legal, fiscal, administrative, and research needs of the laboratory, SURA, federal government, Commonwealth of Virginia, and the general public. The ultimate goal of records management is to identify and maintain records that adequately and properly document the organization, functions, policies, procedures, decisions, and essential transactions of projects and research.

Within this handbook are guidelines to assist each laboratory department in managing its records. Contact Records Management at x7805 for any clarification.

“Unprecedented change in the use of information is reshaping our personal activities, our community and organizational practices, and our national and global institutions.”

WHAT IS A RECORD?

All books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristic, made or received by an agency of the U.S. Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them (44 U.S.C. 3301).



Quick definition: Any document created or received in the course of business

WHAT IS RECORDS MANAGEMENT?

The Records Management Program at Jefferson Lab ensures that record information is controlled, maintained, appraised, and disposed of in compliance with legal requirements, Department of Energy (DOE) requirements, and other client requirements.



Electronic records are common at Jefferson Lab.



WHY RECORDS MANAGEMENT?

It is good business practice to observe a consistent process for maintaining and preserving certain records, particularly those that concern scientific research and development, such as experimental data and analysis, and sensitive administrative records, such as employee medical records, contracts, personal information, etc.

This guide is prepared to assist those who create and/or maintain files and records. The Records Management Office has developed guidelines for handling laboratory records to avoid problems such as wasted office space, misplaced records, and unauthorized destruction of important documents.

You are encouraged to call Records Management at ext. 7805 if you need assistance with records management or have questions or comments regarding this handbook.

"The Records Management Office has developed guidelines for handling laboratory records to avoid problems such as wasted office space, misplaced records, and unauthorized destruction of important documents."

Resources

The Records Management Staff at Jefferson Lab are here to help! Please contact any of the following if you have questions about managing your records:

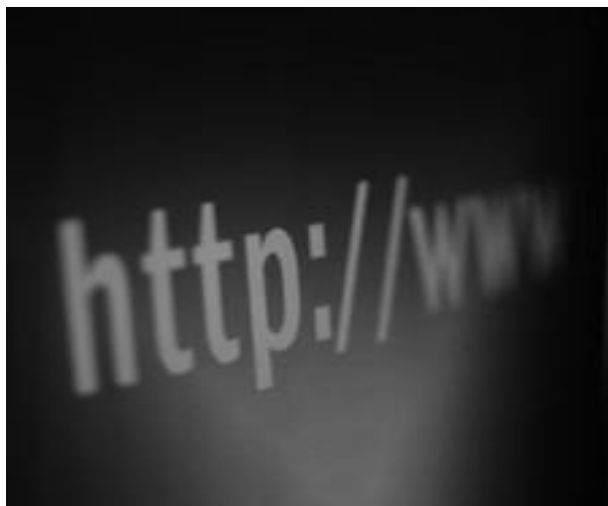
Kim Kindrew, Records Administrator
X 7805
MS 1B

Elois Morgan, Information Resources
Manager
X7525
MS 1B

Your department records coordinator.

In addition, find information at the Information Resources Website:

“Records management provides a rational basis for making decisions about recorded information, including what should be saved and what should be discarded.”



Managing Electronic Records

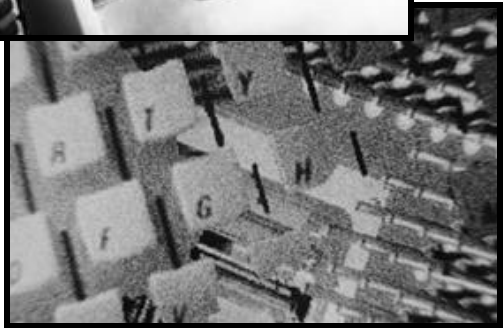
Jefferson Lab employees create and receive hundreds of electronic records every day. Software exists to aid the lab in managing its electronic records.

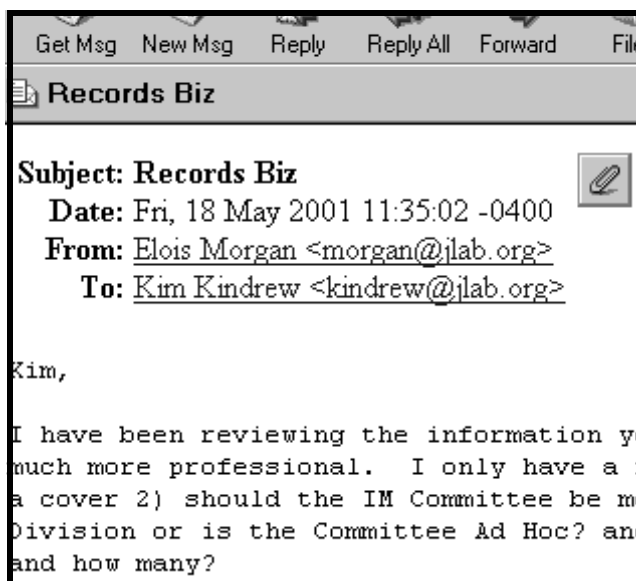
In the meantime, here are a few guidelines to help the JLAB employee manage electronic records.

1. **EMAIL:** Keep official and personal email messages separate. Create folders in which to place messages, separating by type or series. An easy way to remove messages from the email server, yet keep record copies is to “save as” a text file into a specific folder on a backed-up drive, not your C: drive. See the examples on the next page.
2. **Paper vs. electronic documents:** The Electronic Records and Signatures in Commerce Act from June 2000, broadly authorizes the retention of electronic documents in place of paper originals. This said, paper documents may be destroyed provided the electronic document is retained according to guidelines. However, electronic documents must also be disposed, or deleted when their retention dates arrive. For this reason, electronic documents must be stored together according to retention date if stored to a medium such as compact disc.

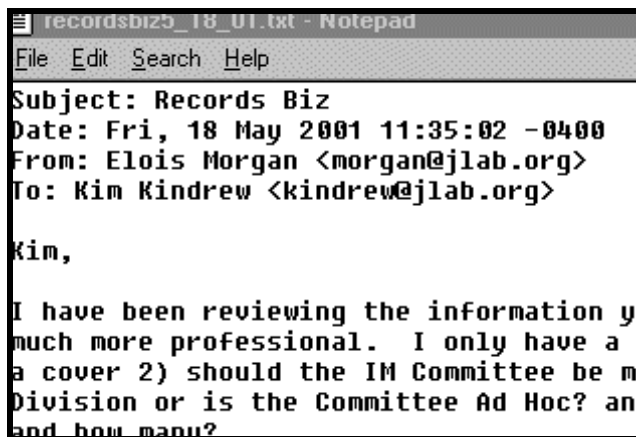
Managing Electronic Records

3. Local back-ups: When backing up your documents onto floppy disks, it's best to back them up according to series, that is, the types of documents you are saving. For example, documents pertaining to one specific project should be saved together in a specific folder on your diskette.
4. Records, such as correspondence, may be retained in hard copy enabling the electronic copy to be deleted.





Original email message.



Text file.

“Electronic mail should be saved in a m a n n e r convenient to the user. The easiest method is to “save as” a text file in an appropriate folder located on a disk drive that is backed up by the computer center, not your local drive.”

LEGAL REQUIREMENTS

All records generated by the Laboratory under terms of its contract with DOE are considered institutional. As such, all Laboratory records are owned by the United States government, with the exception of:



“All records generated by the Laboratory under terms of its contract with DOE are considered institutional.”

- ? Employment-related records (excluding records being maintained in Privacy Act systems of records);
- ? Confidential SURA financial information and correspondence between SURA and other segments of SURA located away from the lab;
- ? procurement records (excluding records that are described as the property of the government under 48 CFR (DEAR) 970.5204-9, Accounts, Records and Inspection);
- ? legal records; and
- ? certain records maintained pursuant to the technology transfer clause of the contract.

Four primary laws related to federal records management:

- ? Federal Records Act of 1950, as amended
- ? Freedom of Information Act
- ? Privacy Act
- ? Paperwork Reduction Act of 1980

PRIVACY ACT PROTOCOL

Applicability

The U.S. Privacy Act applies specifically to certain kinds of records the Laboratory is required to maintain on individuals. These are:

- ? Radiation exposure records
- ? Occupational and industrial accident records
- ? Labor standards complaints and grievances
- ? Employee insurance claims

“Good business practice..”

Although the Laboratory is not required to apply the Privacy Act to other kinds of records, it is good business practice to restrict access to other potentially sensitive records, including:

- ? Personnel medical records
- ? Other personnel records, such as employment, performance, discipline, and compensation records

Notification

For further information on the Privacy Act, call the Records Administrator or review the “Privacy Act Records Notice” on the next page.



Thomas Jefferson National Accelerator Facility

NOTICE

PRIVACY ACT RECORDS

SURA is required by its contract with the Department of Energy (DOE) to maintain the following "systems of records" on individuals in order to accomplish DOE functions:

- ? Personnel radiation exposure records (DOE-35), respecting Laboratory employees, DOE employees and visitors to the contract site;
- ? Occupational and industrial accident records (DOE-38)
- ? "Labor Standards Complaints and Grievances" (DOE-39)
- ? "Contractor Employee Insurance Claims" (DOE-40)

In addition to the above records which are subject to the Privacy Act of 1974 and DOE regulations, SURA/Jefferson Lab maintains personnel medical records which could have

The Privacy Act of 1974 prohibits unauthorized disclosure of the information contained in these records. It provides a system of controls to protect the confidentiality of the information, while allowing access to the records for necessary uses. Individuals are assured of privacy by requirements that prohibit non-routine disclosure without the consent of the subject individual. (The Privacy Act considers routine disclosures to be those which are compatible with the purpose for which the record was collected.)

Individuals have the right to access the files listed above which pertain to them.

SURA/Jefferson Lab has taken steps to ensure the privacy and confidentiality of any files maintained on individuals by the organization, including those which do not specifically meet the requirements of the Privacy Act. The overall Jefferson Lab records management program will continue to be operated in accordance with this philosophy.

For additional information, contact the SURA/Jefferson Lab General Counsel.

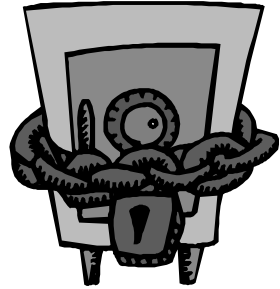
"Treat drafts, notes, and backup materials as equally confidential during work in progress."

Privacy Act Protocol (continued)

Storage/Security Protection

To ensure the confidentiality and security of individual records, each employee in contact with such records should:

- ? Keep paper records in locked file cabinets
- ? Protect electronic records with passwords
- ? Do not leave sensitive records unattended or exposed to casual view
- ? Use a shredder when disposing of them
- ? Treat drafts, notes and backup materials as equally confidential during work in progress.



In addition, to guard against damage of vital records, store critical paper records in fire-proof file cabinets, and back up electronic files and store the backup copy in a separate location. Contact the Computer Center for assistance in storing and securing electronic (data) files.

Access to Records

A. Routine Use

The use of records in ways that are compatible with the purpose for which the records were collected is considered to be routine. The consent of the individual is not required for routine uses of files and records.

B. Requests for Access by Others

1. If an employee wishes to release his/her records to a third party (for example, a physician or attorney), the request should be made in writing to the record holder.
2. Third-party requests, including requests by local, state, or federal officials or agencies should be referred to the Director of Human Resources and Services (HR&S Director), who will determine the appropriateness of releasing the information.
3. Each record holder should keep a log of all written requests for access to Privacy Act records. The log should be kept for five years or the life of the record (whichever is longer) and should include:
 - ? Date
 - ? Name/address of requesting person or agency
 - ? Purpose and nature of request
 - ? Evidence of the subject individual's consent, or a notation that the request was forwarded to the HR&S Director for review.

Requests for release of records must be made in writing!

Requests by Individuals to Amend their Records

When a record change is necessary, individuals should notify the record holder in writing, describing the need to amend the record.



Individual Appeals

An individual whose request for an amendment has been denied can appeal the denial within 30 calendar days, in writing, to the HR&S Director. The appeal can be marked, "Privacy Act – Appeal."

ROLES AND RESPONSIBILITIES IN RECORDS MANAGEMENT

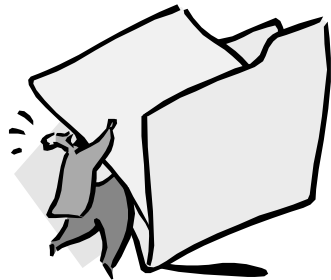
The *DIRECTOR*, in consultation with the *DIRECTOR'S COUNCIL*, is responsible for setting JLab records management policy.

The *RECORDS ADMINISTRATOR* is responsible for:

- ? Establishing standards, procedures, and guidelines for the Laboratory records management program in accordance with JLab policy.
- ? Assisting Laboratory departments in developing programs for effective records management, files maintenance, records disposition, and vital records protection.
- ? Collecting and disseminating information on records management, technological developments, and other records management-related activities.
- ? Training Records Coordinators and Laboratory employees about their records responsibilities.
- ? Inventorying and appraising records and submitting Laboratory-specific records retention schedules to the National Archives and Records Administration.
- ? Assigning records retention dates according to authorized retention schedules.
- ? Ensuring that semi-active records are appraised for their legal, fiscal, administrative, research, and historical value, and are properly accessioned, stored, and retrieved as needed.

Records Administrator Responsibilities (continued)

- ? Obtaining departmental written authorization to dispose of temporary records.
- ? Ensuring that permanent, historically valuable records are appropriately accessible to researchers.
- ? Conducting surveys of divisions, departments, and research groups' records management practices to ensure accountability and improve records care.
- ? Assisting all principal investigators with designated quality assurance records.
- ? Assisting Laboratory departments in Laboratory disaster preparation and recovery if records are involved.
- ? Identifying and archiving historic Laboratory artifacts.
- ? Identifying, developing, and maintaining a vital records protection program.
- ? Ensuring that document retention schedule/destruction practices are suspended when litigation, governmental investigation, or an audit is pending or imminent.



The *INFORMATION MANAGEMENT COMMITTEE* is responsible for:

- ? Providing decision-making guidelines about recorded information.



- ? Developing a lab-wide emergency and vital records program to ensure the safety of existing records in order to re-establish all vital functions of the lab in the event of a disaster.
- ? Promoting lab-wide knowledge of the importance of vital records.
- ? Establishing training guidelines to educate lab personnel regarding the identification and safeguarding of records.

The *LINE MANAGER* is responsible for:

- ? Ensuring staff follow approved procedures.
- ? Appointing Records Coordinators.
- ? With Records Coordinators, correcting reported records management deficiencies within a reasonable amount of time.

The *RECORDS COORDINATOR* is responsible for:

- ? Acting as a liaison between the Records Custodian(s) and Records Administrator and providing assistance to the Records Custodian(s) when necessary.
- ? Preparing and submitting Records Inventory and Disposition Schedules (RIDS) forms to the Records Administrator for review and incorporation into Laboratory Site-Specific Schedules.
- ? Maintaining a current and up-to-date inventory of departmental files.
- ? Conducting periodic clean-up and house-keeping campaigns to keep non-record materials at a minimum.

The *RECORDS CREATOR / CUSTODIAN* is responsible for:

- ? Maintaining files and/or records at the office/workplace level.
- ? Conducting periodic clean-out and house-keeping to keep non-record materials in the office at a minimum.
- ? Maintaining a current and up-to-date inventory of files kept in their offices.
- ? In some cases, the Records Creator/Custodian may be asked to prepare records for storage.

Each Laboratory *DEPARTMENT/DIVISION* is responsible for:

- ? Designating Records Coordinators responsible for overall coordination of records programs, adding the Records Coordinator duties to the individual's job description and his or her annual job evaluation, and ensuring that the Records Coordinator is trained by the Records Administrator.
- ? Establishing effective management controls over the creation, maintenance, and use of active records; transferring of semi-active records to the Records Administrator; and destruction of records that have reached their retention.
- ? Submitting records inventories to the Laboratory Records Administrator.
- ? Establishing safeguards against the unauthorized removal or destruction of records and notifying the Laboratory Records Administrator if removal or destruction occurs or threatens to occur.
- ? Providing safeguards in all records management activities for the protection of individual *privacy* in accordance with federal and state laws and regulations.

MANAGING RECORDS EFFECTIVELY

Records procedure:

The Records Inventory

There are three basic steps the files coordinator follows in records management. These are: inventory/scheduling, transfer to storage, and dispose or archive.

- A. The first step is to prepare an inventory of the records series in your office.

Your inventory provides the foundation for effective records management and should include adequate descriptions. A Records Inventory and Disposition Schedule (RIDS) form is provided by the Records Management Office to record inventory and identify disposition authority. For each series, describe the purpose of the records, their use and general contents. Be specific. Remember, the listing is not a description of each document but of the series. Include the arrangement of the series and the volume. Complete all the columns of the RIDS form.

After you describe your records series, you may determine how long they should be kept. This is done by consulting the Jefferson Lab Records Schedules. The schedules prescribe the authorization disposition of each series of documents found at the lab. Compare your series description to the ones located in the schedules. Where they match close enough to

determine coverage, select that schedule number and enter it in the disposal authority column.

Complete the items on the RIDS form. Sign and send the completed RIDS form to the Records Administrator. It will be reviewed for accuracy and a copy will be returned to you, signed by the Records Administrator. Upon final approval by the Records Administrator, file your copy where it can be located by other staff members in your absence.

- B. Frequently, you may need additional space for your records long before your records reach their limit for retention. Inactive records can be sent to on-site storage until their retention period is reached.
- C. Records which have reached the limit of their authorized retention period can be disposed. Use your RIDS, Records Inventory and Disposition Schedule, to determine when records are ready for disposal. Records that are stored in on-site storage will be marked for disposition and you will receive an authorization for destruction of records form which must be returned indicating concurrence to destruction within 90 days. No response implies concurrence and records will be destroyed after the 90 day period.

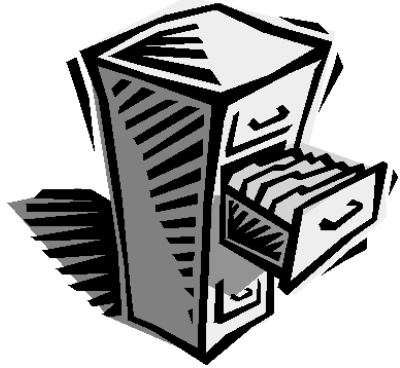
Your RIDS may also indicate those records which, due to historical significance, should be sent to the Jefferson Lab archives.

“If you are uncertain of the historical value of documents, do not schedule or discard them!”

IDENTIFYING ARCHIVAL MATERIAL

Note any documents produced by your offices that contain information on the origin, organization, procedures and functions of Jefferson Lab.

Consider whether the document could act as a link in the historical chain of Jefferson Lab activities or events.



If uncertain of the historical value of documents, do not schedule or discard them. Instead, review the records with their creator(s) or Records Administrator, to establish their historical value. Route records deemed to have historical value to the Records Management office with a memo indicating such.

PROGRAM COMPONENTS AND SERVICES

1. Training and Workshops

The Records Administrator will offer training and workshops on records management, including records disposition, vital records protection, files management, electronic records retention scheduling, and disaster preparedness.

2. Records Inventory

All Laboratory divisions, departments, and research groups are responsible for completing and keeping current inventories for their records, and should share the information electronically with the Records Administrator.

3. Records Scheduling

Records must be maintained according to the retention schedules approved by the National Archives and Records Administration. The schedule is the legal instrument by which records are evaluated and decisions are made about their storage, preservation, availability, or transfer to the National Archives and Records Administration. The Records Administrator is responsible for developing retention schedules that accurately reflect the nature and content of the Laboratory's records.

After the schedule is prepared, it is sent to DOE and the National Archives for review and approval. It is critical to note that records may not be destroyed unless they are covered by an approved schedule.

4. Program Assessment

To establish accountability and to assess the Laboratory's records management practices, the Records Administrator will assess each division, department, project, and research group's area using National Archives and Records Administration guidelines and requirements. Reports of the records surveys will be given to the Files Coordinator and appropriate line management. Line management and the Files Coordinator are responsible for correcting the deficiencies within a reasonable amount of time.

5. Information in Electronic and Optical Form

Scientific and technical records may consist of laboratory notebooks, raw observational or experimental data, text files, software, or modeling and design systems recorded on electronic or optical media. According to the law and National Archives and Records Administration regulations, records may consist of any media, including microfilm, magnetic tape, floppy and hard disks, and optical cards and disks. Information on these media must be covered by an approved records schedule and handled according to the terms of the schedule.

Federal law and regulations require the Laboratory to schedule electronic and optical record retention by information system (including inputs, outputs, documentation, and magnetic or optical media). Unscheduled records or records scheduled for permanent retention in

hard copy may not be destroyed without National Archives approval. Before a division, department, project, or research group creates electronic or optical data systems, the Files Coordinator should contact the Records Administrator about disposition requirements.

6. Vital Records

Vital records should be inventoried and identified. Scientific groups and departments must take appropriate measures to protect vital records.

7. Disaster Recovery

If records are damaged by fire, water, or other natural or man-made hazards, the Laboratory Records Administrator should be contacted to assess the damage, determine whether in-house methods can be used to recover the information, or find additional records disaster recovery expertise.

8. Disposition of Personal Papers and Official Records

Individuals do not own Laboratory records and do not have the authority to dispose of them or transfer records to another institution. If individuals maintain personal files at the Laboratory, they must not mix Laboratory records with their personal records. Individuals may make convenience copies of appropriate Laboratory records for their personal files in reasonable quantities.

9. Privacy and Access Laws

Laboratory records are subject to the procedures outlined in the Freedom of Information Act and the Privacy Act. For assistance and clarification about these laws, call the Records Administrator.

10. Access to Laboratory Records

Laboratory records that are permanent, historically valuable, and noncurrent are open to research, subject to Freedom of Information and Privacy Act provisions. Researchers are encouraged to call the Records Administrator to make arrangements to use these records.

11. Central Records Holding Area

The Laboratory Records Administrator operates the Laboratory's on-site storage area. All offices are required to retire semi-active records series to the Records Administrator.

VITAL RECORDS

Vital records are those which are essential to the continuous operation of the lab in the event of a disaster or emergency; those necessary to recreate the lab's legal and financial position; and/or those necessary to preserve the rights and interests of the laboratory, its employees, users, and partners.

Examples of vital records include designs, drawings, reports, specifications, research data and laboratory notebooks, employee compensation and benefits and insurance records, and financial interest and legal proceeding records.

Once vital records have been identified, they must be protected. Protective measures include one or more of these methods:

- ? dispersal
- ? duplication
- ? remote storage

The Records Administrator can provide information to aid you in determining the best method for your department. Vital records data will be included in an emergency management master list and are referenced in the Emergency Management Manual. Call the Records Administrator if you have questions or concerns.

Vital records must be identified and protected.

ON-SITE HOLDING AREA

Records storage.

Records Storage Procedure

- A. Jefferson Lab has established a records holding area for inactive records. The records area is secure and access is allowed to authorized personnel only. To store records in the on-site holding area, the Records Coordinator must prepare and document the records properly.
- B. Obtain records storage boxes from supply. Records may only be transferred to storage in the appropriate boxes. Records may not be packed in boxes with lids (such as bankers' boxes). Official storage boxes are those that meet the Federal Records Center standard for storage. The dimension of an official size storage box is 14-1/2 x 12 x 9-1/2 inches. The shelving in the records holding area accommodates a certain number of boxes with these dimensions only.
- C. Records with different retention dates must not be packed together. File folders must be labeled and labels must be clearly seen. If file folders are overfilled, separate the contents of file folders among additional file folders, labeling these folders in sequence (1 of 2, 2 of 2, etc....). In addition, file folders should be checked for items that do not belong in storage such as metal file dividers, multiple copies of the same record, unneces-



packed tightly, use additional boxes to alleviate tightly fitted folders. Mark boxes in sequence.

D. Seal boxes with packing tape and assign a departmental log number to the box.

This log number allows the department to keep track of its boxes in the event of a future need for a document stored within the storage area. The log should contain the log number, specific description of the contents of the boxes, and the label names on the file folders within the boxes.

E. Complete a storage transmittal request and forward to the Records Administrator. (at the time of this writing, an online transmittal form is being developed). The transmittal form should be complete and each file folder should be listed on the form. You will be contacted when the Records Administrator will pick up your boxes for transfer to the holding area. Records Management will assign a number to your box and it will be added to the Jefferson Lab Records Storage database.

RETRIEVING RECORDS FROM ON-SITE HOLDING AREA

- A. To retrieve records from the on-site holding area, review your department log to determine which box contains the records you need. Make note of the RM box number, file folder label(s) and location. Note: You can request an entire box or file folders only. Individual documents will not be removed from folders.
- B. Use the Records Storage and Retrieval Form located at the Records Management website to request your file(s) or box(es). Retrieval requests are guaranteed one-business-day turnaround delivery to your office.

RETURNING RECORDS TO ON-SITE HOLDING AREA

- A. To return records to the on-site holding area, complete the Records Storage and Retrieval Form located at the Records Management website.
- B. If you are returning an entire box, ensure the box is resealed with packing tape. Returns are picked up by the Records Administrator from your office within five business days of the request.

DISPOSITION OF RECORDS IN ON-SITE STORAGE

Disposition Review

- A. The Records Administrator will run a monthly disposition report to determine which boxes have reached their retention dates and may be disposed or destroyed.
- B. The Records Administrator will send a list of boxes that have reached retention to the appropriate Records Coordinators. The Records Coordinators must review the report, indicate whether the boxes are to be disposed as is or mutilated, sign the report and return the report within 30 days. If no response is received by the Records Administrator within 90 days, records will be mutilated.
- C. If the Records Coordinator reviews the report and requests a retention date be extended, a reasonable explanation must be provided. Infrequently, due to events at the lab, certain documents may be scheduled differently, causing their retention dates to change. All requests of such nature will prompt a review of the disposition date. If appropriate, records may be rescheduled.

GLOSSARY

ACCESS: The availability of, or the permission to consult, records.

ACCESSION: The transfer of the legal and physical custody of permanent records from an agency's office to on-site storage, the Federal Records Center, or to the National Archives.

ACTIVE RECORDS: Records necessary to conduct the current business of an office and therefore generally maintained in office space and equipment. Also called **CURRENT RECORDS**.

ADEQUATE AND PROPER DOCUMENTATION: A record of the conduct of U.S. Government business that is complete and accurate to the extent required to document the organization, functions, policies, decisions, procedures, and essential transactions of the agency and that is designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the agency's activities.

ADMINISTRATIVE RECORDS: Records relating to budget, personnel, supply, and similar housekeeping, or facilitative, functions common to most agencies, in contrast to program records.

ADMINISTRATIVE VALUE: The usefulness of records in conducting an agency's current business. Includes fiscal value and legal value, which are usually analyzed separately when records are evaluated for disposition.

APPRAISAL: The process of determining the value and thus the final disposition of records, making them either temporary or permanent.

ARCHIVAL MATERIAL: A document or record containing specific information about the project that may have historical significance. Examples may include reports, studies, proposals, correspondence, etc....

ARCHIVES: (1) The non-current records of an organization preserved because of their continuing, or enduring, value. (2) One or more buildings, or portions thereof, where permanent records are located after being accessioned by an archival agency. Also called archival depository or archival repository.

CASE FILES: Records, regardless of media, documenting a specific action, event, person, place, project, or other matter. Include personnel, project, and transaction files, which are types of case files.

CENTRAL FILES: Files accumulated by several offices or organizational units and maintained and supervised in one location. Also called centralized files.

CLOSED FILE: A file unit or series containing documents on which action has been completed and to which more documents are not likely to be added. See also CUTOFF.

CONTRACTOR RECORDS: Data produced and/or maintained by a contractor for a Federal agency and required to provide adequate and proper documentation of that agency's programs and to manage them effectively. Also called contractor data.

CUTOFF: Breaking, or ending, files at regular intervals, usually at the close of a fiscal or calendar year, to permit their disposal or transfer in complete blocks and, for correspondence files, to permit the establishment of new files. Case files are generally cut off at the end of the year in which the case is closed. Cutoff is sometimes abbreviated as COFF and is also called file cutoff or file break.

DESTRUCTION: In records management, the major type of disposal action. Methods of destroying records include selling or salvaging the record medium and burning, pulping, shredding, macerating, or discarding with other waste materials.

DISPOSAL: The actions taken regarding temporary records after their retention periods expire and consisting usually of destruction.

DISPOSITION: A broad term which may refer to any of the following:

- (1) Destroying records;
- (2) Offering and transferring those records accepted to the National Archives;
- (3) Retiring or transferring records to a records storage facility;
- (4) Transferring records from one office or agency to another; and
- (5) Donating records to a Government or non-Government entity.

DISPOSITION AUTHORITY: (1) Legal approval empowering an agency to transfer permanent records to the National Archives or carry out the disposal of temporary records. Must be obtained from NARA and also, for

certain records proposed as temporary, from the General Accounting Office (GAO). (2) The agency's approval of disposition instructions for non-record materials.

ELECTRONIC RECORDS: Records stored in a form that only a computer can process. Also called machine-readable records or ADP records.

EMERGENCY-OPERATING RECORDS: That type of vital records essential to the continued functioning or reconstitution of an organization during and after an emergency. See also VITAL RECORDS.

FEDERAL RECORDS CENTER (FRC): A storage facility established for the receipt, maintenance, servicing, and disposition of records which are retired in accordance with the provisions of authorized disposition schedules. The National Archives and Records Administration operates a system of Federal records centers which DOE is authorized to use.

FILES CUSTODIAN: The individual responsible for the establishment, maintenance, and operation of file stations within their organizational units. Also referred to as "recordkeeper."

FILE SERIES: See RECORDS SERIES.

FINAL DISPOSITION: The end of the records life cycle in which temporary records are disposed of and permanent records are transferred to archives.

FISCAL VALUE: The usefulness of records in documenting an agency's financial transactions and obligations.

FROZEN RECORDS: In records disposition, those temporary records that cannot be destroyed on schedule because special circumstances, such as a court order or an investigation, require a temporary extension of the approved retention period.

GENERAL RECORDS SCHEDULE (GRS): A NARA-issued schedule governing the disposition of specified records common to several or all agencies.

INACTIVE RECORDS: Records no longer required to conduct agency business and therefore ready for final disposition. Also called **NON-CURRENT RECORDS**.

INVENTORY: A survey of agency records and non-record materials that is conducted primarily to develop records schedules and also to identify various records management problems, such as improper applications of recordkeeping technology.

LEGAL VALUE: The usefulness of records in documenting legally enforceable rights or obligations, both those of the Federal Government and those of persons directly affected by the agency's activities.

LIFE CYCLE OF RECORDS: The management concept that records pass through three stages: creation, maintenance and use, and disposition.

NON-RECORD MATERIAL: Items which include those classes of documentary of other material that may be disposed of without archival authority such as the following examples:

- ? library or museum material made or acquired for reference or exhibition purposes
- ? extra copies of documents preserved only for convenience of reference on which no action is recorded or taken
- ? stocks of publications or other processed documents that require no action
- ? routing slips and transmittal sheets adding no information
- ? personal papers of a private or non-official character

Non-records may be destroyed when their purposes have been served.

PERSONAL PAPERS: Documentary materials belonging to an individual that are not used to conduct agency business. Related solely to an individual's own affairs or used exclusively for that individual's convenience. Must be clearly designated as such and kept separate from the agency's records. Also called personal files or personal records.

PRESERVATION: The provision of adequate facilities to protect, care for, or maintain records.

PROGRAM RECORDS: Records documenting the unique, substantive functions for which an agency is responsible, in contrast to administrative records.

RECORDKEEPING: The act or process of creating and maintaining records. Assumes the need for their proper disposition.

RECORDS: Records of the Department of Energy are books, papers, photographs, machine readable materials, maps, or other documentary materials, regardless of physical form or characteristics, which have documentary or evidential value. Such materials, created or received in connection with the transaction of official business, are preserved because of their informational value as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities. Records, also referred to as record material or Government records, can be destroyed only according to the provisions of authorized disposition schedules.

RECORDS CREATION: The first stage of the records life cycle in which records are made (or received) by an office.

RECORDS DISPOSITION SCHEDULES: A comprehensive listing and description of records created or accumulated which shows all legally authorized action to be taken in relation to the retention and disposition of the records. Records disposition schedules provide for cutting off records and carrying out their disposition.

RECORDS MANAGEMENT: The planning, controlling, directing, organizing, training, promoting, and other managerial activities related to the creation, maintenance and use, and disposition of records to achieve adequate and proper documentation of Federal policies and transactions and effective and economical management of agency operations. Also called records administration.

RECORDS MANAGEMENT PROGRAM: A planned, coordinated set of policies, procedures, and activities needed to manage an agency's recorded information. Encompasses the creation, maintenance and use, and disposition of records, regardless of media. Essential elements include issuing up-to-date program directives, properly training those responsible for implementation, publicizing the program, and carefully evaluating the results to ensure adequacy, effectiveness, and efficiency.

RECORDS SCHEDULE: See RECORDS DISPOSITION SCHEDULES.

RECORDS SERIES: Also called a files series. File units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access and use. Generally handled as a unit for disposition purposes.

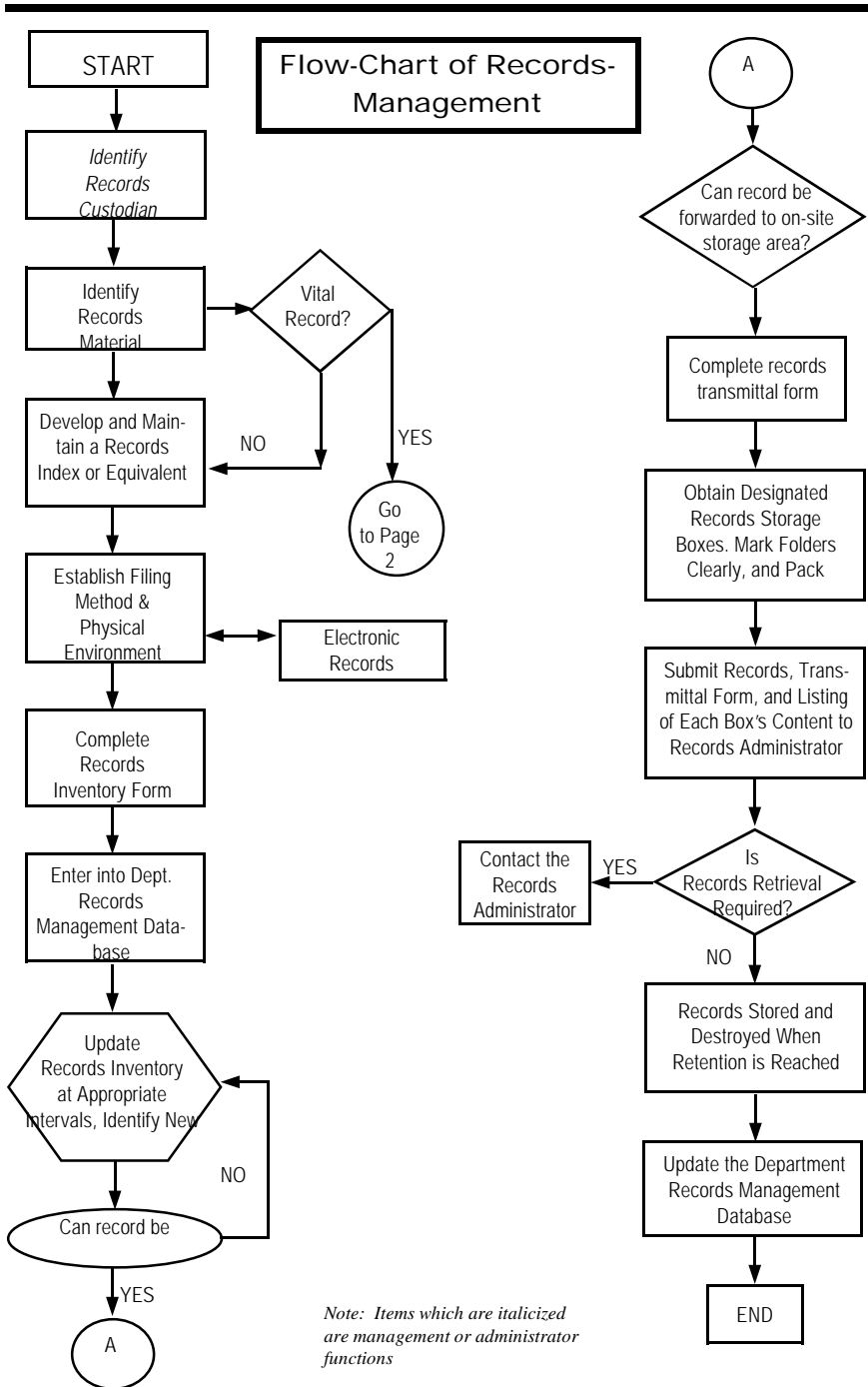
RIGHTS-AND-INTERESTS RECORDS: That type of vital records essential to protecting the rights and interests of an organization and of the individuals directly affected by its activities.

SERIES: see RECORDS SERIES

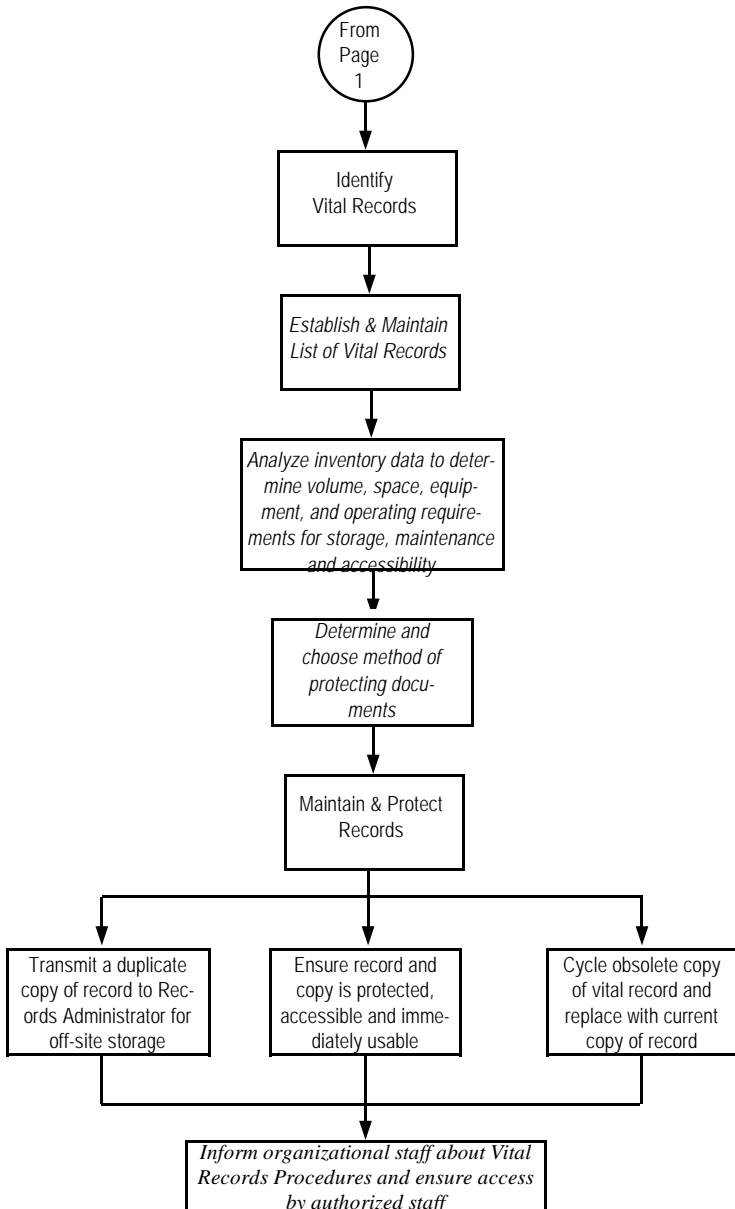
SPECIAL RECORDS: Types of records maintained separately from textual/paper records because their physical form or characteristics require unusual care and/or because they have nonstandard sizes. Include electronic, audiovisual, microform, cartographic and remote-sensing imagery, architectural and engineering, printed, and card records.

TRANSFER: The act or process of moving records from one location to another.

VITAL RECORDS: Records essential to the continued functioning or reconstitution of an organization during and after an emergency and also those records essential to protecting the rights and interests of that organization and of the individuals directly affected by its activities. Sometimes called essential records. Include both emergency-operating and rights-and-interests records. Vital records considerations are part of an agency's records disaster prevention and recovery program. See also **EMERGENCY-OPERATING RECORDS, RIGHTS-AND-INTERESTS RECORDS**.



Flow Chart of Vital Records



Note: Items which are italicized are management or administrator functions